

05-25-01

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05/24/01

31058 U.S. PTO

# UTILITY PATENT APPLICATION TRANSMITTAL

(only for new nonprovisional applications under 37 CFR § 1.53(b))

Attorney Docket No. 1999U019D1.US

Inventors David H. McConville and Richard R. Schrock

Title Method of Polymerization

Express Mail Label No. EL715559360US

JC951 U.S. PTO

09/864756

05/24/01

## APPLICATION ELEMENTS

ADDRESS TO:

Assistant Commissioner for Patent  
Box Patent Application  
Washington, D.C. 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)

2. ☒ Specification Total Pages -37-

(preferred arrangement set forth below)

- Descriptive Title of the Invention
- Cross References to Related Applications (if any)
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings (if filed)
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

3. ☐ Drawing(s) (35 U.S.C. 113) Total Sheets -0-

4. ☒ Oath or Declaration Total Pages -4-

a. ☐ Newly executed (original or copy)

b. ☒ Copy from a prior application (37 C.F.R. § 1.63(d)  
(for continuation/division with Box 15 completed)  
[Note Box 5 below]

i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting  
inventor(s) named in the prior application,  
see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).

5. ☐ Incorporation By Reference (useable if Box 4B is checked)  
The entire disclosure of the prior application, from which a copy of the oath or declaration  
is supplied under Box 4b, is considered to be part of the disclosure of the accompanying  
application and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)

## ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & document(s))8. ☐ 37 C.F.R. § 3.73(b) Statement ☐ Power of Attorney  
(when there is an assignee)9. ☐ English Translation Document (if applicable)10. ☒ Information Disclosure Statement (IDS)/PTO-1449☐ Copies of IDS Citations11. ☐ Preliminary Amendment12. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)13. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)14. ☐ Other: \_\_\_\_\_

15. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment.

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior applications No: 09/312,878, from which priority is claimed under 35 U.S.C. § 120

Prior application information: Examiner Ling-Siu ~~Choi~~ Choi Group Art Unit 1713

16. If a NONPROVISIONAL APPLICATION based upon a foreign or U.S. provisional application, priority is claimed from applications

No. \_\_\_\_\_, country \_\_\_\_\_, filed on \_\_\_\_\_.

## 17. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Labelor ☒ Correspondence address below

(Insert Customer No. or Attach bar code label here)

Name Univation Technologies L.L.C.

Address 5555 San Felipe, Suite 1950

City Houston

State

Texas

Zip Code 77056

Country U.S.A.

Telephone

(713) 892-3729

Fax

(713) 892-3687

Name (print/type) Lisa Kimes Jones

Registration No. (Attorney/Agent)

41,878

Signature

Date

May 24, 2001

# FEE TRANSMITTAL

Note: Effective November 10, 1998.  
Patent fees are subject to annual revision.

Complete if Known

Application Number	New Application
Filing Date	May 24, 1999
Inventors	David H. McConville and Richard R. Schrock
Group Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	1999U019D1.US

Total Amount of Payment (\$)**842.00**

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payment to:

Deposit Account Number:

50-0589

Deposit Account Name:

Univation Technologies, LLC

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Charge the Issue Fee Set in 37 CFR 1.18 at the Mailing of the Notice of Allowance

## FEE CALCULATION

### 1. FILING FEE

Large Entity Fee Code	Fee Description	Fee Paid
101 710	Utility filing fee	\$710.00
106 320	Design filing fee	
107 490	Plant filing fee	
108 710	Reissue filing fee	
114 150	Provisional filing fee	
SUBTOTAL (1)		\$710.00

### 2. CLAIMS

Total Claims	23	- 20 =	3	x	18	=	\$54.00
Independent Claims	4	- 3 =	4	x	78	=	\$78.00
Multiple Dependent Claims	0	x	260	=	\$0.00		

### Large Entity

Fee Code	Fee\$	Fee Description
103 18		Claims in excess of 20
102 80		Independent claims in excess of 3
104 270		Multiple dependent claim
109 80		Reissue independent claims over original patent
110 18		Reissue claims in excess of 20 and over original patent
SUBTOTAL (2)		\$132.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Fee Code	Large Entity Fee \$	Fee Description	FEES PAID
105 130		Surcharge - late filing fee or oath	
127 50		Surcharge - late provisional filing or cover sheet.	
139 130		Non-English specification	
147 2,520		For filing a request for reexamination	
112 920*		Requesting publication of SIR prior to Examiner action	
113 1,840*		Requesting publication of SIR after Examiner action	
115 110		Extension for reply within first month	
116 390		Extension for reply within second month	
117 890		Extension for reply within third month	
118 1,390		Extension for reply within fourth month	
128 1,890		Extension for reply within fifth month	
119 310		Notice of Appeal	
120 310		Filing a brief in support of an appeal	
121 270		Request for oral hearing	
138 1,510		Petition to institute a public use proceeding	
140 110		Petition to revive - unavoidable	
141 1,240		Petition to review - unintentional	
142 1,240		Utility issue fee (or reissue)	
143 440		Design issue fee	
144 600		Plant issue fee	
122 50		Petition to the Commissioner	
123 50		Petitions related to provisional applications	
126 180		Submission of information Disclosure Stmt.	
581 40		Recording each patent assignment per property (times number of properties)	
146 710		Filing a submission after final rejection (37 CFR 1.129(a))	
149 710		For each additional invention to be examiner (37 CFR 1.129(b))	
Other fee (specify)			
* Reduced by Basic Filing Fee Paid			
SUBTOTAL (3)			

Typed or Printed Name

Lisa Kimes Jones

Reg. No.

41,878

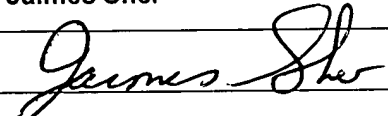
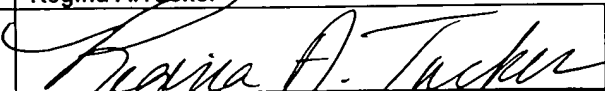
Signature

Date

May 24, 2001

Deposit Account

User ID

<h1 style="margin: 0;">TRANSMITTAL FORM</h1> <p style="margin: 0; font-size: small;">(to be used for all correspondence after initial filing)</p>		Application Number		09/312,878				
		Filing Date		May 17, 1999				
		First Named Inventor		McConville et al.				
		Group Art Unit		1713				
		Examiner Name		Unassigned				
Total Number of Pages in This Submission		5		Attorney Docket Number		1999U019.US		
ENCLOSURES (check all that apply)								
<input type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Preliminary Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input type="checkbox"/> Information Disclosure Statement  <input type="checkbox"/> Certified Copy of Priority Documents)  <input type="checkbox"/> Response to Missing Part/ Incomplete Application <input type="checkbox"/> Response to Missing Parts			<input checked="" type="checkbox"/> Assignment Papers (for an Application)  <input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition  <input type="checkbox"/> To Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund			<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input type="checkbox"/> Additional Enclosure(s) (please identify below):		
			REMARKS					
SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT								
Firm Or Individual name		Jaimes Sher			Registration No.			34,726
Signature								
Date		August 20, 1999						
CERTIFICATE OF MAILING								
I hereby certify having information and a reasonable basis for belief that this correspondence will be deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <span style="border: 1px solid black; padding: 2px;">August 20, 1999</span>								
Typed or printed name		Regina A. Tucker						
Signature					Date		August 20, 1999	

08-25-1999

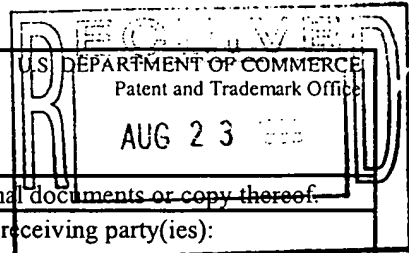
FORM PTO-1595

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101125828



To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Richard R. Schrock

Additional name(s) of conveying party(ies) attached?

☐ Yes ☒ No

8-23-99

2. Name and address of receiving party(ies):

Name: Massachusetts Institute of Technology

Street Address: 77 Massachusetts Avenue

City: Cambridge State: Massachusetts ZIP: 02139

3. Nature of conveyance:

☒ Assignment☐ Merger☐ Security Agreement☐ Change of Name☐ Other

Execution Date: August 2, 1999

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is: \_\_\_\_\_

A. Patent Application No.(s)  
09/312,878

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning documents should be mailed:

Name: Jaimes Sher

Internal Address: Univation Technologies LLC.

Mailing Address: 5555 San Felipe, Suite 1950

City: Houston State: Texas ZIP: 77056

6. Total number of applications and patents involved: [1]

7. Total fee (37 CFR 1.41): \$40.00

☒ Authorized to be charged to deposit account

8. Deposit account number: 50-0589

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9. Statement and signature.

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.*

Jaimes Sher

Name of Person Signing

Signature

August 20, 1999

Date

Total number of pages including cover sheet, attachments, and document: [3]

Mail documents to be recorded with required cover sheet information to:

COMMISSIONER OF PATENTS AND TRADEMARKS  
BOX ASSIGNMENT  
WASHINGTON DC 20231

08/25/1999 MTHAI1 00000074 500589 09312878

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U.S. DEPARTMENT OF COMMERCE  
Patent and Trademark Office

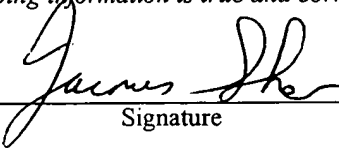
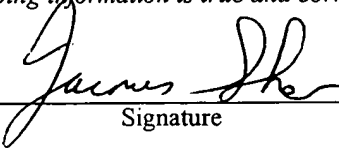
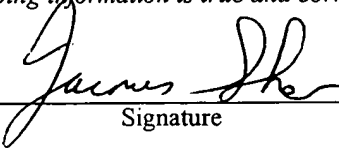
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101347293

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

<b>1. Name of conveying party(ies):</b>  Exxon Chemical Patents, Inc.  Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No		<b>2. Name and address of receiving party(ies):</b>  Name: Univation Technologies, LLC  Street Address: 5555 San Felipe, Suite 1950  City: Houston State: Texas ZIP: 77056  Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No			
<b>3. Nature of conveyance:</b> <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <u>April 3, 2000</u>					
<b>4. Application number(s) or patent number(s):</b>  If this document is being filed together with a new application, the execution date of the application is: _____ <table border="1"><tr><td><b>A. Patent Application No.(s)</b> 09/312,878</td><td><b>B. Patent No.(s)</b></td></tr></table> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				<b>A. Patent Application No.(s)</b> 09/312,878	<b>B. Patent No.(s)</b>
<b>A. Patent Application No.(s)</b> 09/312,878	<b>B. Patent No.(s)</b>				
<b>5. Name and address of party to whom correspondence concerning documents should be mailed:</b>  Name: Jaimes Sher Internal Address: Univation Technologies LLC. Mailing Address: 5555 San Felipe, Suite 1950 City: Houston State: Texas ZIP: 77056		<b>6. Total number of applications and patents involved: [1]</b>  <b>7. Total fee (37 CFR 1.41): \$40.00</b>  <input checked="" type="checkbox"/> Authorized to be charged to deposit account  <b>8. Deposit account number: 50-0589</b>			

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<b>9. Statement and signature.</b> <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.</i>  <table border="0"><tr><td>Jaimes Sher</td><td></td><td>April 5, 2000</td></tr><tr><td>_____ Name of Person Signing</td><td>_____ Signature</td><td>_____ Date</td></tr></table> Total number of pages including cover sheet, attachments, and document: [3]			Jaimes Sher		April 5, 2000	_____ Name of Person Signing	_____ Signature	_____ Date
Jaimes Sher		April 5, 2000						
_____ Name of Person Signing	_____ Signature	_____ Date						

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05/04/2000 DNGUYEN 00000308 500589 09312878

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**UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

JULY 05, 2000

PTAS

UNIVATION TECHNOLOGIES LLC.  
JAIMES SHER  
5555 SAN FELIPE, SUITE 1950  
HOUSTON, TX 77056



\*101347293A\*

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RECORDATION DATE: 04/10/2000

REEL/FRAME: 010751/0950  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

**ASSIGNOR:**

EXXON CHEMICAL PATENTS, INC.

DOC DATE: 04/03/2000

**ASSIGNEE:**

UNIVATION TECHNOLOGIES, LLC  
5555 SAN FELIPE, SUITE 1950  
HOUSTON, TEXAS 77056

SERIAL NUMBER: 09312878

FILING DATE: 05/17/1999

PATENT NUMBER:

ISSUE DATE:

MARCUS KIRK, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

**DATE DOCKETED**

7-27-2000

By Judy



14-00000, US  
UNITED STATES DEPARTMENT OF COMMERCE  
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ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 22, 1999

PTAS

UNIVATION TECHNOLOGIES LLC  
JAIMES SHER  
5555 SAN FELIPE  
SUITE 1950  
HOUSTON, TX 77056



\*101125828A\*

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RECORDATION DATE: 08/23/1999

REEL/FRAME: 010181/0833  
NUMBER OF PAGES: 2

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SCHROCK, RICHARD R.

DOC DATE: 08/02/1999

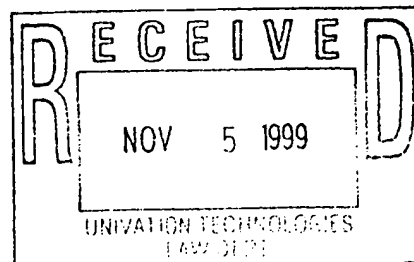
ASSIGNEE:

MASSACHUSETTS INSTITUTE OF  
TECHNOLOGY  
77 MASSACHUSETTS AVENUE  
CAMBRIDGE, MASSACHUSETTS 02139

SERIAL NUMBER: 09312878  
PATENT NUMBER:

FILING DATE: 05/17/1999  
ISSUE DATE:

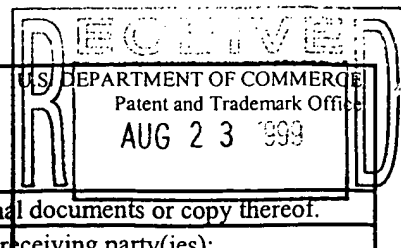
SHIRLIE SIMON, EXAMINER  
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08-25-1999



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 REC 101125829 LET  
 PATENTS ONLY


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2. Name of conveying party(ies):  <b>David H. McConville</b>  Additional name(s) of conveying party(ies) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No <b>8-23-99</b>	2. Name and address of receiving party(ies):  Name: <b>Exxon Chemical Patents, Inc.</b>  Street Address: <b>5200 Bayway Drive</b>  City: <b>Baytown</b> State: <b>Texas</b> ZIP: <b>77522</b>  Additional name(s) & address(es) attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No				
3. Nature of conveyance: <input checked="" type="checkbox"/> Assignment <input type="checkbox"/> Merger <input type="checkbox"/> Security Agreement <input type="checkbox"/> Change of Name <input type="checkbox"/> Other Execution Date: <b>June 12, 1999</b>	4. Application number(s) or patent number(s):  If this document is being filed together with a new application, the execution date of the application is: _____  <table border="0"> <tr> <td data-bbox="771 892 860 1018">A.</td> <td data-bbox="860 892 1104 1018">Patent Application No.(s) <b>09/312,878</b></td> <td data-bbox="1104 892 1185 1018">B.</td> <td data-bbox="1185 892 1476 1018">Patent No.(s)</td> </tr> </table> Additional numbers attached? <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	A.	Patent Application No.(s) <b>09/312,878</b>	B.	Patent No.(s)
A.	Patent Application No.(s) <b>09/312,878</b>	B.	Patent No.(s)		
5. Name and address of party to whom correspondence concerning documents should be mailed:  Name: <b>Jaimes Sher</b> Internal Address: <b>Univation Technologies LLC.</b> Mailing Address: <b>5555 San Felipe, Suite 1950</b> City: <b>Houston</b> State: <b>Texas</b> ZIP: <b>77056</b>	6. Total number of applications and patents involved: [1]  7. Total fee (37 CFR 1.41): <b>\$40.00</b>  <input checked="" type="checkbox"/> Authorized to be charged to deposit account  8. Deposit account number: <b>50-0589</b>				

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9. Statement and signature. <i>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true Copy of the original document.</i>		
Jaimes Sher Name of Person Signing	 Signature	August 20, 1999 Date
Total number of pages including cover sheet, attachments, and document: [3]		

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01 FC+581 40.00 CH